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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

| | |
|-------------------------------|---|
| <i>Attorney Docket No.</i> | 1900.0260001/JMC/KKV |
| <i>First Inventor</i> | Carl T Wild |
| <i>Title</i> | A Method for Generating Immunogens that Elicit Neutralizing Antibodies Against Fusion-Active Regions of HIV Envelope Proteins |
| <i>Express Mail Label No.</i> | |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:
Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- | | |
|--|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (in duplicate) <i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 75] <i>(preferred arrangement set forth below)</i> - Descriptive title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (<i>if filed</i>) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7]</p> <p>5. Oath or Declaration [Total Pages 2] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76.</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i></p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|--|---|

ACCOMPANYING APPLICATION PARTS

- 9. Assignment Papers (cover sheet & document(s))
- 10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
- 11. English Translation Document *(if applicable)*
- 12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
- 13. Preliminary Amendment
- 14. Return Receipt Postcard (MPEP 503) (2)
(Should be specifically itemized)
- 15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- 17. Other: Authorization under 37 C.F.R. § 1.136(a)(3) (in duplicate)
 Other: The name of the assignee is: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

Continuation Divisional Continuation-in-Part (CIP) of prior application No: _____ / _____
Prior application information: Examiner _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

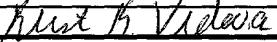
18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label  or Correspondence address below

Customer No. 26111

(Insert Customer No. or Attach bar code label here)

| | | | | | |
|----------------|---|------------------|--|--------------------------------|--|
| <i>NAME</i> | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. | | | <i>PATENT TRADEMARK OFFICE</i> | |
| | Attorneys at Law | | | | |
| <i>ADDRESS</i> | | | | | |
| <i>CITY</i> | | <i>STATE</i> | | <i>ZIP CODE</i> | |
| <i>COUNTRY</i> | | <i>TELEPHONE</i> | | <i>FAX</i> | |

| | | | |
|--------------------------|---|--|--------|
| <i>NAME (Print/Type)</i> | Kristin K. Vidovich | <i>Registration No. (Attorney/Agent)</i> | 41,448 |
| <i>SIGNATURE</i> |  | | |
| | Date <u>March 16, 2001</u> | | |

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

| | |
|----------------------|----------------------|
| Application Number | To be assigned |
| Filing Date | Herewith |
| First Named Inventor | Carl T. Wild |
| Examiner Name | To be assigned |
| Group Art Unit | To be assigned |
| Attorney Docket No. | 1900.0260001/JMC/KKV |

TOTAL AMOUNT OF PAYMENT (\$525.00)

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number 19-0036
Deposit Account Name Sterne, Kessler, Goldstein & Fox P L L C

Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

Applicant claims small entity status
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No 19-0036.

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Entity Fee (\$) | Small Entity Fee Code (\$) | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------------------|-----------------|----------------------------|-----------------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | 355.00 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) (\$ 355.00)

2. EXTRA CLAIM FEES

| Extra | Fee from below | Fee Paid |
|-----------------------------|----------------|----------|
| Total Claims 30 - 20** = 10 | X 9 | = 90.00 |
| Indep. Claims 5 - 3** = 2 | X 40 | = 80.00 |

Multiple Dependent

| Large Entity Fee Code (\$) | Entity Fee (\$) | Small Entity Fee Code (\$) | Entity Fee (\$) | Fee Description |
|----------------------------|-----------------|----------------------------|-----------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim |
| 108 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 170.00)

** or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee paid |
|----------|----------|----------|----------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 390 | 216 | 195 | Extension for reply within second month | |
| 117 | 890 | 217 | 445 | Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 130 | 123 | 130 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 481 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

SUBMITTED BY**Complete (if applicable)**

| | | | | | |
|-------------------|---------------------|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Kristin K. Vidovich | Registration No. (Attorney/Agent) | 41,448 | Telephone | 202-371-2600 |
| Signature | Kristin K. Vidovich | | | Date | March 16, 2001 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

03/16/01
JCT72 U.S. PTO

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

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1000/09/03/01
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MARK P. TERRY**

*BAR OTHER THAN D.C.
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

March 16, 2001

WRITER'S DIRECT NUMBER:

(202) 789-5519

INTERNET ADDRESS:

KVIDOVIC@SKGF.COM

Commissioner for Patents
Washington, D.C. 20231

Box: Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: Herewith
For: **A Method for Generating Immunogens that Elicit Neutralizing Antibodies Against Fusion-Active Regions of HIV Envelope Proteins**
Inventors: Wild *et al.*
Our Ref: 1900.0260001/JMC/KKV

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Fee Transmittal Form (PTO-SB-17) (*in duplicate*);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

A Method for Generating Immunogens that Elicit Neutralizing Antibodies Against Fusion-Active Regions of HIV Envelope Proteins

and naming as inventors:

Carl T. Wild, and

Commissioner for Patents
March 16, 2001
Page 2

Graham P. Allaway;

the application consisting of:

- a. A specification containing:
 - i. 68 pages of description prior to the claims;
 - ii. 6 pages of claims (30 claims);
 - iii. a one (1) page abstract;
 - b. 7 sheets of drawings: (Figures 1, 2A-2C, 3, 4A-4B, 5-6, and 7A-7B); and
 - c. A copy of the executed Declaration;
4. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time (*in duplicate*);
5. Two (2) return postcards; and
6. Our check No. 30674 for \$525.00 to cover:

\$355.00 Filing fee for patent application;
\$90.00 Total Claims in Excess of 20; and
\$80.00 Independent Claims in Excess of 3.

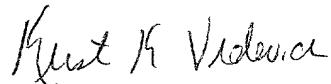
It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Commissioner for Patents
March 16, 2001
Page 3

A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Kristin K. Vidovich
Attorney for Applicants
Registration No. 41,448

JMC/KKV:amm

Enclosures

P:\USERS\kvidovic\1900\0260001\pto.trl app
SKGF Rev 8/1/00 mac

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